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Docket No.: 53887

Rec'd PCT/PTO

PATENT
06 AUG 2001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

David LOCKWOOD

Serial No.:

Group Art Unit:

Filed: August 6, 2001

Examiner:

For: COMPUTER BORROW AND LOAN SECURITIES AUCTION SYSTEM

INFORMATION DISCLOSURE STATEMENT

Honorable Commissioner for Patents and Trademarks
Washington, D. C. 20231

Sir:

In accordance with the provisions of 37 C.F.R. 1.56, 1.97 and 1.98, the attention of the Patent and Trademark Office is hereby directed to the references listed on the attached form PTO-1449. It is respectfully requested that the references be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.


This Information Disclosure Statement is being filed with the application and no certification or fee is required.

A copy of the foreign search report is attached for the Examiner's information. Please note this is a PCT application in the entry of the National Phase in the U.S. Since the Search Report was from the U.S. JPO or EPO search authorities, copies of these references should have been supplied to the USPTO under the trilateral agreement and are believed to be in the file of the above identified application and readily available to the Examiner. However, to ensure that these references are available to the Examiner, we are providing copies of these references herewith.

Therefore it is believed that Applicants have met all requirements regarding duty of disclosure under 37 CFR 1.56. Acknowledgement and consideration of these documents are respectfully requested.

Respectfully submitted,

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